

FORM PTO-1390  
REV. 5-93US DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTORNEYS DOCKET NUMBER  
**P01,0240****TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371**

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)

**09/889296**INTERNATIONAL APPLICATION NO.  
**PCT/DE99/10474**  
*ED*INTERNATIONAL FILING DATE  
**29 December 1999**PRIORITY DATE CLAIMED  
**14 January 1999**TITLE OF INVENTION  
*BAC 2.25-04***METHOD AND DEVICE FOR ADAPTIVELY MODIFYING THE CHARACTERISTICS OF  
ONE DIMENSIONAL SIGNALS**

APPLICANT(S) FOR DO/EO/US

**UWE RASS and GERHARD STEEGER**

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay.
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of International Application as filed (35 U.S.C. 371(c)(2)) - drawings attached.
  - a. ☒ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)) -
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. §371(c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). Un-executed
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

**Items 11. to 16. below concern other document(s) or information included:**

11. ☒ An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98; (PTO 1449, Prior Art, Search Report).
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. 3.28 and 3.31 is included. (Separate envelope)
13. ☒ A FIRST preliminary amendment.
  - ☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☒ A substitute specification, including red-lined version
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information:
  - a. ☒ Request for Approval of Drawing Changes
  - B ☒ Express Mail Label EL 843739572US

U.S. APPLICATION NO. (if known, see 37 C.F.R. 1.5)

09/889296

INTERNATIONAL APPLICATION NO.  
PCT/EP99/10474

EP BAC

2/25/04

ATTORNEY'S DOCKET NUMBER  
P01,0240

17. ☒ The following fees are submitted:

**BASIC NATIONAL FEE (37 C.F.R. 1.492(a)(1)-(5):**

Search Report has been prepared by the EPO or JPO ..... \$860.00

International preliminary examination fee paid to USPTO (37 C.F.R. 1.482) \$690.00

No international preliminary examination fee paid to USPTO (37 C.F.R. 1.482) but international search fee paid to USPTO (37 C.F.R. 1.445(a)(2)) ..... \$760.00

Neither international preliminary examination fee (37 C.F.R. 1.482) nor international search fee (37 C.F.R. 1.445(a)(2)) paid to USPTO ..... \$1000.00

International preliminary examination fee paid to USPTO (37 C.F.R. 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4) ..... \$100.00

ENTER APPROPRIATE BASIC FEE AMOUNT =

CALCULATIONS

PTO USE ONLY

\$ 860.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 C.F.R. 1.492(e)).

\$

Claims	Number Filed	Number Extra	Rate
Total Claims	17 - 20 =	0	X \$18.00
Independent Claims	4 - 3 =	0	X \$ 80.00
Multiple Dependent Claims			\$270.00 +

\$80.00

\$

TOTAL OF ABOVE CALCULATIONS =

\$940.00

Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity statement must also be filed. (Note 37 C.F.R. 1.9, 1.27, 1.28)

\$

SUBTOTAL =

\$940.00

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492(f)).

\$

TOTAL NATIONAL FEE =

940.00

Fee for recording the enclosed assignment (37 C.F.R. 1.21(h). The assignment must be accompanied by an appropriate cover sheet (37 C.F.R. 3.28, 3.31). \$40.00 per property +

TOTAL FEES ENCLOSED =

\$940.00

Amount to be refunded

\$

charged

\$

a. ☒ A check in the amount of \$940.00 to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees. A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 501519. A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 C.F.R. 1.494 or 1.495 has not been met, a petition to revive (37 C.F.R. 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Schiff Hardin & Waite  
Patent Department  
6600 Sears Tower  
Chicago, Illinois 60606  
Customer No. 26574

SIGNATURE

Steven H. Noll

NAME

28,982 (Registration No.)

09/889296  
JC05 Rec'd PTO 13 JUL 2001

**CERTIFICATE OF MAILING BY EXPRESS MAIL**

**"Express Mail" Mailing label Number** EL 843739572US

**Date of Deposit:** July 13, 2001

I hereby certify that this correspondence is being deposited with the United States Postal "Express Mail Post Office To Addressee" service under 37 CFR 1.10(c) on the date indicated above and is addressed to:

BOX PCT  
Hon. Assistant Commissioner for Patents  
Washington DC 20231

**Case Number:** P01,0240

**International Application No.** PCT/DE99/10474


**International Filing Date:** December 29, 1999

**Title:** METHOD AND DEVICE FOR ADAPTIVELY MODIFYING THE  
CHARACTERISTICS OF ONE-DIMENSIONAL SIGNALS

**Applicant:** RASS ET AL

Enclosed are the following documents:

International Application as filed, drawings, attached; translation thereof  
PTO 1390 in duplicate;  
Submission of Drawings  
Amendment A Prior to Action and Submission  
of Substitute Specification including Red Lined Version  
Un-Executed Declaration  
IDS  
Government Filing Fee  
Postcard

  
\_\_\_\_\_  
Signature of Person mailing documents and fees